

# **PROARCA/CAPAS Results**

## **1996-1997**

Guatemala

**PROARCA/CAPAS**

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## **Acerca de esta publicación**

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*Las opiniones e ideas presentadas aquí no son necesariamente respaldadas por USAID, PROARCA/CAPAS, o CCAD, ni representan sus políticas oficiales.*

## **About this publication**

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*USAID, PROARCA/CAPAS, and CCAD do not necessarily endorse the views and ideas presented here, nor do these views and ideas represent USAID's official policies.*

<b>RESULT 1: Increased Protection of Biodiversity and Habitat within Key Parks and Protected Areas. (Consensus on a regional biodiversity strategy)</b>	
<b>Benchmark 1.1 (YR-1)</b> Reach ( <i>later modified to “work towards”</i> ) CCAB-AP donor consensus on PAs to be included in the Central American PA system	
a. Percentage of the benchmark reached	* A working group of CCAP signed an agreement requesting each national government to rank and prioritize PAs according to criteria and methods recommended by CAPAS (Antigua, Mar. 97). The terms of the agreement were drawn up by Jose Courrau, assisted by Tom Ankersen.
b. Management and leadership in reaching the benchmark	* CAPAS had to overcome initial misunderstandings about the purpose and organization of the meetings. Moreover, CAPAS had to remind the working group to think regionally and to focus on its objectives.
c. Quality and timing of TA, and relevance to the project	* Juan Carlos Godoy, regional expert in PAs, provided the analytical document and presentation that allowed the CCAP group to agree on a process for PA prioritization. Quite possibly, a lesser figure would have failed to generate the necessary support.
d. Notable performance through exceptional contractor initiative	* CAPAS would like to be recognized for having provided the agenda, leadership, and costs of the Antigua meetings jointly with CCAD and CCAP.

<b>Benchmark 1.2 (YR-1). Complete regional gap analysis.</b>	
a. Percentage of the benchmark reached	<ul style="list-style-type: none"> <li>* CAPAS provided a high-resolution satellite image of land cover in Central America to regional decision-makers (Mar-May 97).</li> <li>* The image, combined with map data and expert analysis, provided for the development of a geo-referenced data grid (expert meeting in June 97).</li> <li>* Legal gaps are being addressed through a CAPAS grant to IDEADS for an updated analysis of PA legislation in the 7 countries (expected Aug 97).</li> <li>* Administrative and managerial gaps are being addressed by IUCN/ORMA, with a request by CAPAS for access to these data (June 97).</li> </ul>
b. Management and leadership in reaching the benchmark	<ul style="list-style-type: none"> <li>* We have had to contend with jealousies regarding access to data, and rivalries regarding which methods/systems to pursue. CAPAS has approached these problems with diplomacy and patience.</li> </ul>
c. Quality and timing of TA, and relevance to the project	<ul style="list-style-type: none"> <li>* Doug Muchoney, Boston University, has been the intellectual leader for the geo-referenced data grid.</li> <li>* Xiaojun Li and Andrea Cristofani, TNC, have provided backstopping coordination.</li> </ul>
d. Notable performance through exceptional contractor initiative	<ul style="list-style-type: none"> <li>* We call attention to the project's special effort to communicate with and attempt to involve a large number of interested stakeholders, many of whom are rivals with each other (TNC, UNDP/GEF, WCS, IUCN, WWF, CI, and others).</li> </ul>

<b>Benchmark 1.3 (YR-1)</b> Assemble and record existing biodiversity information in compatible GIS	
a. Percentage of the benchmark reached	<p>* Based on site visits and contacts across Central America, CAPAS recommends that CATIE become a regional center for geo-referenced biodiversity data (e.g., of the kind being produced by CAPAS). CAPAS established the interest and feasibility of this arrangement with CATIE (June 97).</p> <p>* This recommendation requires the backing of CCAD's Executive Secretariat. As of July 97, CCAD favors CATIE as a regional center for geo-based data on forestry and agro-forestry, and IUCN for geo-based data on protected areas.</p>
b. Management and leadership in reaching the benchmark	<p>* CAPAS has had to understand the capacities and interests of competing organizations, and to establish a dialogue with them that makes no commitments until CCAD is ready to act.</p>
c. Quality and timing of TA, and relevance to the project	<p>* This task has been managed by Jose Courrau of CAPAS and Carlos Rodriguez of CCAD, with no external TA (through the present).</p>
d. Notable performance through exceptional contractor initiative	<p>* CAPAS is aware of the political sensitivities of the institutions involved, and has avoided getting itself into conflictive situations with them.</p>

<b>Benchmark 1.4 (YR-1)</b> Agree on a strategy for monitoring protected areas and buffer zones	
a. Percentage of the benchmark reached	* CAPAS presented a PA monitoring framework to regional experts for their review, feedback, and agreement (May 97). The modified framework was distributed to national PA directors and managers in the 7 countries.
b. Management and leadership in reaching the benchmark	* CAPAS had to study the advantages and disadvantages of dozens of monitoring frameworks before deciding upon one hybrid model that is "right" for the situation of Central America.
c. Quality and timing of TA, and relevance to the project	* This task has been designed and managed by Jose Courrau, without additional TA (through the present).
d. Notable performance through exceptional contractor initiative	* Because there are many competing ideas on monitoring, achieving agreement on a monitoring strategy is difficult. To indicate the merit and timeliness of the CAPAS framework, Costa Rica has committed to apply the strategy for five PAs, starting Aug 97. Fundación Natura (Panama) is proposing to use the CAPAS monitoring strategy to track annual progress in the PAs managed by INRENARE.

<b>Benchmark 1.5 (YR-2)</b> Demonstrate that the monitoring strategy is being applied	
CAPAS will present this result next year. <b>[DO NOT EVALUATE THIS YEAR]</b>	
<b>Benchmark 1.6 (YR2)</b> Establish legal and policy framework to manage the system of PAs	
a. Percentage of the benchmark reached	<ul style="list-style-type: none"> <li>* CAPAS/Costas produced a comprehensive analysis of legal and policy problems affecting PAs and coastal zones in the Gulf of Honduras, Cayos Miskitos, and Gulf of Fonseca (May-July 97)</li> <li>* Policy workshops will be scheduled for these sites in the next few months.</li> <li>* CAPAS will use the results of these workshops to help define and implement subsequent activities in conflict resolution (i.e., Benchmark 1.8)</li> </ul>
b. Management and leadership in reaching the benchmark	<ul style="list-style-type: none"> <li>* This effort requires close technical and financial collaboration between Costas and CAPAS, representing an act of trust by each team in the other.</li> </ul>
c. Quality and timing of TA, and relevance to the project	<ul style="list-style-type: none"> <li>* Hilary Lorraine, experienced co-author of the Green Book, designed the CAPAS framework for policy data collection and synthesis.</li> <li>* Through a grant from Costas, the RODA network has been carrying out the legal and policy assessment.</li> <li>* Marcia Brown has been responsible for interviews in the sites in order to "ground truth" the problem analysis.</li> </ul>
d. Notable performance through exceptional contractor initiative	<ul style="list-style-type: none"> <li>* CAPAS would like to be recognized for its willingness to work on the policy framework jointly with Costas in order to: (i) call attention to the special policy issues of PAs that are located in coastal-marine zones, and (ii) achieve a larger impact than if either Costas or CAPAS were working alone on these issues.</li> </ul>

**Benchmark 1.7 (YR-2)** Develop and obtain acceptance of regional plans to increase financial resources for PAs

CAPAS will present this result next year. **[DO NOT EVALUATE THIS YEAR]**

**Benchmark 1.8 (YR-2)** Identify, analyze, and propose solutions for four regionally significant cross-border conflicts in natural resources.

CAPAS will present this result next year. We will direct our attention to fisheries, sea turtles, manatees, and/or other open-access resources in coastal zones, collaborating with PROARCA/Costas. **[DO NOT EVALUATE THIS YEAR]**



<b>Benchmark 1.9 (YR-2)</b> Obtain CCAD resolution and regional agreement on a standardized approach to control illegal trafficking in biodiversity.	
a. Percentage of the benchmark reached	<ul style="list-style-type: none"> <li>* CAPAS collaborated with CCAD's Executive Secretariat to organize and financially sponsor (in El Salvador) the first regional meeting of Central America's CITES authorities (May 97).</li> <li>* CITES participants agreed to coordinate with CCAD/CAPAS on (i) preparation of a regional agreement to control illegal traffic in flora and fauna, and (ii) actions to correct legal and implementation failures in CITES for Central America.</li> </ul>
b. Management and leadership in reaching the benchmark	<ul style="list-style-type: none"> <li>* CAPAS, in the presence of Jose Courrau, helped design and lead the regional meeting with CCAD. According to attendees, the CITES meeting earned high praise for its exceptional level of professionalism.</li> </ul>
c. Quality and timing of TA, and relevance to the project	<ul style="list-style-type: none"> <li>* This task has been designed and managed by José Courrau of CAPAS and Bruno Bustos Brol of CCAD, with advisory support by Tom Ankersen. CAPAS will be calling upon Dr. Ankersen for more TA in the next year.</li> <li>* CAPAS is offering a grant to Fundación Ambio for diagnostic work and training in CITES implementation, complementing our other efforts for this Benchmark.</li> </ul>
d. Notable performance through exceptional contractor initiative	<ul style="list-style-type: none"> <li>* For CAPAS, the regional representatives to CITES are a different set of people than those who normally participate in CCAD and CCAB-AP. CAPAS asks GCAP to recognize our effort to identify, invite, and meet this new group of "customers."</li> </ul>

<b>RESULT 2: Demonstration of Economic Viability of Compatible Uses in Buffer Zones. (Economic feasibility demonstrated within the regional system of biodiversity corridors)</b>	
<b>Benchmark 2.1 (YR-1)</b> Achieve regional consensus on the criteria for awarding small grants	
a. Percentage of the benchmark reached	* CAPAS presented its grants framework (objectives, criteria, grant document, and selection process) to GCAP, CCAD's Executive Secretariat, and USAID's bilateral missions. Approvals were obtained by late Feb. 97.
b. Management and leadership in reaching the benchmark	* CAPAS invested heavily in "lessons learned" from other grant programs. Teresa Robles, Grants Manager, made a considerable effort in communications and informal negotiations in order to finalize the goals and processes for the CAPAS grants.
c. Quality and timing of TA, and relevance to the project	* There was no TA for this benchmark, but CAPAS called upon Doug Pool and Christian Ellwood of IRG's Home Office for timely and helpful assistance.
d. Notable performance through exceptional contractor initiative	* CAPAS believes that its grants program may be the first (or certainly among the first) truly competitive regional frameworks for grants dealing with environment and conservation in Central America. Our themes are specific; our criteria are demanding; and we invited 170 organizations in 7 countries to compete with each other for the funds.

<b>Benchmark 2.2 (YR-1) Complete first round of small grants</b>	
a. Percentage of the benchmark reached	<ul style="list-style-type: none"> <li>* CAPAS received 62 grant proposals summing to \$3.5 million in requested funding. Applying objective and consistent evaluation criteria, CAPAS convened an Evaluation Committee to select grant finalists (May 97).</li> <li>* The Grants Manager negotiated budgets and technical content with each of the grant finalists (June 97).</li> <li>* CAPAS obtained final approval by GCAP and national governments for the selected grants (June-July 97).</li> <li>* CAPAS made its first grant disbursements at the end of YR-1 (early July 97).</li> </ul>
b. Management and leadership in reaching the benchmark	<ul style="list-style-type: none"> <li>* With assistance by GCAP, the Grants Manager very adequately defended the grant process and choice of finalists in the face of post-selection reactions.</li> </ul>
c. Quality and timing of TA, and relevance to the project	<ul style="list-style-type: none"> <li>* The project called upon Miguel Cifuentes, Fausto Cepeda, Maria Jose Gonzalez, Jaime Incer, and Bruno Busto Brol to form the external members of its Evaluation Committee. Each of these individuals came well prepared, and the scoring and ranking of grant proposals was completed within a single day. The project's use of a distinguished Evaluation Committee helped it defend its selections.</li> </ul>
d. Notable performance through exceptional contractor initiative	<ul style="list-style-type: none"> <li>* CAPAS asserts that it is a major achievement to have sustained a rigorous competition for grants in Central America, given the region's history of "soft" grant standards, plus frequent favoritism in selecting recipients.</li> <li>* IRG's decision to make a one-time grant competition reduces work by both GCAP and the CAPAS Grants Manager (i.e., with respect to soliciting, reviewing, and approving grant proposals).</li> </ul>

<b>Benchmark 2.3 (YR-1)</b> Develop (with CCAD and donors) a regional agenda on compatible land-use policies and incentives	
a. Percentage of the benchmark reached	<ul style="list-style-type: none"> <li>* At the first Congress of the Mesoamerican Society for Biology and Conservation, CAPAS sponsored a forum and subsequent workshop entitled, "In Search of a Truce between Agriculture and Biodiversity" (Tegucigalpa, June 97). These events brought together regional experts to debate policies, principles, and practices that comprise eco-friendly agriculture and forestry for buffer zones.</li> </ul>
b. Management and leadership in reaching the benchmark	<ul style="list-style-type: none"> <li>* CAPAS developed a rigorous conceptual framework to identify and screen policies and incentives.</li> <li>* ECO-OK is using its portfolio of real case studies (not classroom theory) to present "lessons learned"</li> </ul>
c. Quality and timing of TA, and relevance to the project	<ul style="list-style-type: none"> <li>* The TA is in the hands of Chris Wille (Director of ECO-OK), working with junior associates Luis Gaitán (Guatemala) and Carmen Roldán (Costa Rica). CAPAS is fortunate to have ECO-OK's director as its principal consultant for this Benchmark.</li> </ul>
d. Notable performance through exceptional contractor initiative	<ul style="list-style-type: none"> <li>* Among several organizations that claim expertise in eco-friendly agriculture and forestry, CAPAS has chosen to work with ECO-OK because of its breadth (standards for bananas, coffee, cacao, citrus, and forest plantations), and its regional presence (most countries of Central America, plus several in South America). ECO-OK has opportunities to grow rapidly, and CAPAS can assist in that growth (e.g., see follow-up activities in Benchmarks 2.4 and 2.5).</li> </ul>
<b>Benchmark 2.4 (YR-2)</b> Demonstrate economic feasibility for 3 compatible land uses within the biodiversity corridors	
CAPAS will present this result next year. <b>[DO NOT EVALUATE THIS YEAR]</b>	

**Benchmark 2.5 (YR-2)** Document, disseminate, and have CCAD endorse minimum standards on policy and economic incentives for compatible land uses

CAPAS will present this result next year.      **[DO NOT EVALUATE THIS YEAR]**

**Benchmark 2.6 (YR-2)** Have CCAD endorse best management practices and certification systems for forest products and ecotourism.

CAPAS will present this result next year.      **[DO NOT EVALUATE THIS YEAR]**

<b>RESULT 3: Increase in Regional Environmental Awareness, Commitment, and Consensus (Demonstrated approaches to increase public awareness, customer focus, access to information, transparent decision-making, and strengthened participatory process)</b>	
<b>Benchmark 3.1 (YR-1)</b> Complete first round of small grants that demonstrates regional, national, and local approaches for promoting environmental awareness (after obtaining regional consensus on grant criteria and program focus)	
a. Percentage of the benchmark reached	<ul style="list-style-type: none"> <li>* CAPAS conducted a baseline and follow-up action plan for several organizations doing environmental education in the Gulf of Honduras and the Honduran Mosquitia (May-June 97).</li> <li>* Among the CAPAS grants is one to MOPAWI (Honduran Mosquitia) for radio programs and other outreach strategies on issues of environment and development (first disbursement in July 97).</li> </ul>
b. Management and leadership in reaching the benchmark	<ul style="list-style-type: none"> <li>* Refinements in the technical content of MOPAWI's grant are due in part to findings that emerged from the CAPAS baseline of environmental education in the Mosquitia subregion.</li> </ul>
c. Quality and timing of TA, and relevance to the project	<ul style="list-style-type: none"> <li>* CAPAS is pleased to have hired Suyapa Domínguez for her frank and timely assessment of accomplishments and failings of environmental education in the two subregions. She is one of the region's brightest stars in this theme.</li> </ul>
d. Notable performance through exceptional contractor initiative	<ul style="list-style-type: none"> <li>* The project would like to be recognized for having completed a diagnostic assessment before giving grants for environmental education. We believe that a considerable amount of funding for environmental education is wasted because of poor choices of audience, messages, and communications strategies.</li> </ul>

<b>Benchmark 3.2 (YR-1)</b> Furnish baseline data to support GCAP's Customer Service Plan	
a. Percentage of the benchmark reached	* CAPAS surveyed more than 25 of its closest partners and clients about our project's objectives in order to generate a baseline regarding different perspectives on what we should be doing (synthesis of the responses was completed in June 97).
b. Management and leadership in reaching the benchmark	* CAPAS took advantage of several ongoing meetings, and set up special individual appointments, to solicit these observations.
c. Quality and timing of TA, and relevance to the project	* CAPAS did not use TA for this benchmark, but we did interact with Rob Thurston and others at GCAP.
d. Notable performance through exceptional contractor initiative	* Our CSP is structured in three phases, and we assert that our surveys are (and will continue to be) more rigorous and self-critical than other CSP processes we observe around us.
<b>Benchmark 3.3 (YR-2)</b> Adopt methods in 10 geographic areas for achieving public participation and access to decision-making (e.g., in relation to EIA and environmental mediation) that affects the regional system of parks and other PAs	
CAPAS will present this result next year. <b>[DO NOT EVALUATE THIS YEAR]</b>	
<b>Benchmark 3.4 (YR-2)</b> Conduct the Customer Survey and analyze its results.	
CAPAS completed Phase I (see Benchmark 3.2) in YR-1. CAPAS will present Phases II and III next year. <b>[DO NOT EVALUATE THIS YEAR]</b>	

<b>RESULT 4. Transfer Skills to Counterpart Institutions</b> (Sufficient skills are transferred to Central American counterparts to enable them to carry out environmental policy analysis, and to manage the program of protected areas)	
<b>Benchmark 4.1 (YR-1)</b> Document baseline skills of selected organizations/institutions	
a. Percentage of the benchmark reached	* CAPAS surveyed 56 conservation leaders in four countries to produce a demand-driven baseline of skills (managerial and policy) that need to be strengthened (May-June 97).
b. Management and leadership in reaching the benchmark	* Rather than duplicating previous work, the survey started with observations from previous analyses (e.g., diagnostic work by WRI).
c. Quality and timing of TA, and relevance to the project	* CAPAS paired two experienced consultants, one with numerous Central American contacts, and the other from a position of being able to ask "naive" questions.
d. Notable performance through exceptional contractor initiative	* This baseline required extensive communications and logistics in order to establish and keep the appointments.



<b>Benchmark 4.2 (YR-1)</b> Develop a strategy for skills transfer that can be incorporated into ongoing activities	
a. Percentage of the benchmark reached	
b. Management and leadership in reaching the benchmark	
c. Quality and timing of TA, and relevance to the project	
d. Notable performance through exceptional contractor initiative	* For several contracted tasks, CAPAS is requiring that the lead consultant(s) train or orient 1-2 junior associates, and that these associates present a brief report on what they learn.
<b>Benchmark 4.3 (YR-2)</b> Provide TA, short courses, and/or other interventions to improve the effectiveness of the institutions identified in 4.1 and 4.2	
CAPAS will present this result next year. <b>[DO NOT EVALUATE THIS YEAR]</b>	
<b>Benchmark 4.4 (YR-2)</b> Document improvements in relation to the baseline	
CAPAS will present this result next year. <b>[DO NOT EVALUATE THIS YEAR]</b>	